

233-18
8

APPLICATION FOR RECORDS RETENTION SCHEDULE

233-18-8

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR	1. GEORGIA DEPARTMENT OF HUMAN RESOURCES	ARCHIVES AND HISTORY	
Application Date February 26, 1980	Office of the Commissioner Office of Audits 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306	Application Number 74-395-A	
Application Number 80-10 80-11		Date Received MAR 3 1980	Date Completed MAR 19 1980

2. Person to Contact David G. Price	Working Title Director, Office of Audits	Telephone Number 894-3700
-----------------------------------------------	----------------------------------------------------	-------------------------------------

3. Action Requested	
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>2 schedules</u>	74-395-A to transfer record copy to 74-398-A State Archives Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supercode; <input type="checkbox"/> Void

4. Dates of Series	5. Records Series Title (followed by title used in office, if different)
Earliest _____ Latest _____ 	see attached listing

6. Division and Office Function	What is the function of the Division and the Office in which this record series is created?

7. Records Series Description	This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.
Documents relating to:	
Included are:	
The file is arranged :	

8. Monthly Reference Rate	How often are records referred to which are:
One to six months old _____ ;	Seven to twelve months old _____ ;
thirteen to twenty-four months old _____ ;	twenty-five months and older _____ ?

9. Annual Rate of Accumulation or Records
Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David L. Puer</i>	2/18/80	<i>Elizabeth W. Crank</i>	2/18/80
		Elizabeth W. Crank, CRM State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	3-18-80
		Secretary of State/Designee	3-13-80
		Attorney General/Designee	3-18-80

Records Retention Schedule

GEORGIA DEPARTMENT OF HUMAN RESOURCES OFFICE OF THE COMMISSIONER FINANCIAL MANAGEMENT

Office of Audits
Contract Audits Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395-A	FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents re- lating to auditing State- allocated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Ex- penses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Ac- counts Receivable, Encumbrances, Prepaid Expenses, Equipment Pur- chases, Accounts Payable; au- ditor's transmittal letter sum- marizing audit results, revenue and expenditure statement, state- ment of administrative expenses, adjusting entries, bank reconcili- ations; and supporting papers. The file is arranged chronologi- cally by fiscal year; thereunder, alphabetically by county; there- under, by DHR Division; there- under, by program.	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all perti- nent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then transfer to State Archives.</p> <p>DHR Office/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the in- active file; cut off inac- tive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers in author- ized.</p>
74-398-A	COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Doc- uments relating to auditing State- allocated funds expended by County Health Departments, Health Districts, and Mental Health Catchment areas. Included, but	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all perti- nent papers for a particu-</p>

APPROVED: 3/19/80

Records Retention Schedule

GEORGIA DEPARTMENT OF HUMAN RESOURCES OFFICE OF AUDITS

Contract Audit Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395-A	FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents relating to auditing State-allocated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Expenses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, statement of administrative expenses, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by DHR Division; thereunder, by program.	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy transfer to State Archives.</p> <p>DHR Office/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers in authorized.</p> <p>APPROVED: 7/5/79</p> <p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particu-</p>
74-398-A	COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Documents relating to auditing State-allocated funds expended by County Health Departments, Health Districts, and Mental Health Catchment areas. Included, but	

Records Retention Schedule

GEORGIA DEPARTMENT OF HUMAN RESOURCES OFFICE OF AUDITS

Contract Audit Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-398-A (cont.)	not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and County Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by District; thereunder, by Catchment area.	lar audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy transfer to State Archives. DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u> Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive at end of each fiscal year; hold 2 years; then destroy. Earlier destruction of audit reference papers is authorized.
74-399-A	CONTRACT AUDIT REPORT FILES (Titles III, IV-A, IV-D, V, VI, VII, XVI, XX) - Documents relating to auditing contract programs which may include day care centers, mental retardation centers, child support recovery programs, aging programs, and any other patient-client related vendors funded through Titles III, IV-A, IV-D, V, VI, VII, XVI, and XX. Included, but not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, reve-	APPROVED: 7/5/79 Cut off file as follows: <u>Office of Audits</u> <u>(Record Copy)</u> Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy. DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u> Upon determination that all

ORIGINAL

233-18-8

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

APPLICATION FOR RECORDS RETENTION SCHEDULE

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date		Office of the Commissioner		Application Number	
May 2, 1979		Office of Audits		74-395-A	
Application Number		1256 Briarcliff Road, N. E.		Date Received	
DHR 79-11 through 79-17		Atlanta, Georgia 30306		MAY 7 1979	
2. Person to Contact		Working Title		Date Completed	
David G. Price <i>Price</i>		Director, Office of Audits		JUL 5 1979	
				Telephone Number	
				894-5695	
3. Action Requested * (x) Rescind Appl. No. 301 (x) Transfer to Dept of Medical Assistance 74-396					
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. *no longer done					
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. (*74-395) *74-398 - *74-399 - 74-416 - 77-401					
c. <input checked="" type="checkbox"/> Amend Application No. 54 schedules Check One: <input checked="" type="checkbox"/> Change; <input checked="" type="checkbox"/> Supercade; <input type="checkbox"/> Void to make changes in					
4. Dates of Series		5. Records Series Title (followed by title used in office; if different)			
Earliest	Latest	wording and to lengthen retention period			
1968	to present	see attached listing * DHR State-wide application			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?					
<p>The Department of Human Resources, through the leadership of the Commissioner, is responsible for planning, organizing, directing, coordinating, and controlling the delivery of services to residents of Georgia. Included are: diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs; Federal Food Programs; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department, and suggesting improvements in these programs; and support services.</p> <p>The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.</p>					
7. Records Series Description		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.			
Documents relating to:					
		see attached listing			
Included are:					
The file is arranged :					
8. Monthly Reference Rate		How often are records referred to which are:			
One to six months old _____ ;		Seven to twelve months old _____ ;			
twenty-five months and older _____ ?		Thirteen to twenty-four months old _____ ;			
9. Annual Rate of Accumulation or Records					
Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. DHR Procedure IV-H - Administrative Procedures Manual
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention Instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David Spivey</i>	5/1/79	<i>Elizabeth W. Crank</i>	4/30/79
		Elizabeth W. Crank C.R.M. State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	7-3-79
		Secretary of State/Designee	6-29-
		Attorney General/Designee	7-3-7

Application to Amend Records Retention Schedules

Office of Audits - page 3

CONTRACT AUDIT SECTION

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395-A	FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents relating to auditing State-allocated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Expenses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, statement of administrative expenses, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by DHR Division; thereunder, by program.	<p>Cut off file as follows:</p> <p><u>Office of Audits</u> <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p><u>DHR Offices/ Divisions/ Sections/ Units</u> <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>
74-398	COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Documents relating to auditing State-allocated funds expended by County Health Departments, Health Dis-	<p>Cut Off file as follows:</p> <p><u>Office of Audits</u> <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been</p>

STATE
OF
GEORGIAApplication for
RECORDS DISPOSITION STANDARDOFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION233-18
8PAGE
1

1. Application Date October 30, 1974	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. DHR-DER-2		Date Received NOV 14 1974	Application No. 74-395
3. AGENCY, Division, Subdivision & Administering Office Address Department of Human Resources Office of Evaluation and Research Internal Audit Unit 618 Ponce De Leon Ave., Atlanta, Ga. 30308		4. Person to Contact G. M. Chattin	Date Completed NOV 21 1974
		5. Working Title Chief Auditor	6. Tel. No. 894-5695

7. ACTION REQUESTED

- ☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest
Dates of Series
F/Y 1973 to present

9. Exact Series Title

FAMILY AND CHILDREN SERVICES COUNTY AUDIT REPORT FILES

10. What is the function of the office in which this record series is created?

The Office of Evaluation and Research provides the Management Team with personnel who can objectively evaluate and analyze the effectiveness of the Department's programs.

The Internal Audit Unit has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and the policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy and effectiveness of operations by identifying where improvements are needed.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).

Documents relating to auditing state-allocated funds expended by Family and Children Services County Departments.

Included, but not limited to, are auditor's transmittal letter summarizing audit results, revenue and expenditure statement, statement of administrative expenses, adjusting entries, bank reconciliations, and supporting documents and work papers.

Files are arranged chronologically by fiscal year; thereunder alphabetically by name of County.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers				1.5	3
Legal-size File Drawers	1.5	3	Floor Space Occupied (Square Feet)	In Office(s)	In Storage Area(s)
				This Year's	Last Year's
				Preceding Year's	All Prior Years
			AVERAGE DAILY REFERENCES	3	3
				1	1

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain.

13. Is this the Record Copy of the series? ☒ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☐ YES ☒ NO
15. Is the information contained in this series ever summarized or published?
Attach copy of summary or publication. ☐ YES ☒ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
17. Does the series initiate, amend or terminate agency policies and procedures? ☐ YES ☒ NO
18. Could the function be performed if the files were lost or destroyed? ☒ YES ☐ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
20. Does the record series provide data as input to an EDP file? ☐ YES ☒ NO
21. Does the record series contain documentation produced as EDP printout? ☐ YES ☒ NO
22. Has the Federal Government issued instructions governing the retention/disposition of these files? ☐ YES ☒ NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept 4 years:

- a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

Based on previous reference experience, the Internal Audit Unit needs a four year retention.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☐ CALENDAR YEAR ☒ FISCAL YEAR ☐ OTHER _____, then:

- ☒ Hold in the current files area _____ month(s)/ 2 year(s):
- ☒ Transfer to ☒ State Records Center ☐ Local Holding Area; hold 2 year(s):
- ☒ Destroy _____
- ☐ Transfer to State Archives for permanent retention.
- ☐ Destroy immediately after cut-off.
- ☐ Other: (Specify) _____

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>W. Elton</i>	<i>Oct 30, 74</i>	<i>G. M. P. H. H.</i>	<i>11/5/74</i>
26. Recommendations in paragraph 25 are:	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>W. Elton</i>	<i>11-21-74</i>
State Auditor/Designee	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Carroll Hart</i>	<i>11-19-74</i>
Secretary of State/Designee	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>W. Elton</i>	<i>11-21-74</i>
Attorney General/Designee	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved		

STATE RECORDS
COMMITTEE